

CSJU CALLS FOR PROPOSALS - GUIDANCE NOTE HOW TO INCLUDE IN THE PROPOSAL COMPLEMENTARY ACTIVITIES SUPPORTED BY ESIF

1. Introduction: synergies between CSJU and "European Structural and Investment Funds" (ESIF)

The Europe 2020 strategy towards smart, sustainable and inclusive growth will make significant progress by building upon the synergy between the cohesion policy (ESIF) and the excellence objectives of Horizon 2020. The fostering of synergies between the two policy instruments aims at maximising the quantity and quality of investments, and thus ensuring a higher impact of the funds. The European Structural and Investment Funds (ESIF) will invest approximately €100 billion in innovation and research in the period 2014-2020.

It should be noted that Article 20 of the Horizon 2020 Regulation and Article 37 of the H2020 Rules for Participation encourage synergies between Horizon 2020 and other European Union funds, such as ESIF¹ and the Clean Sky 2 Joint Undertaking is called by its founding Council Regulation n° 558/2014 of 6th of May 2014 to develop close interactions with ESIF in the field of activities covered by the CSJU.

To this effect, the **CSJU Work Plan 2015-2017** (*Introduction section*) includes the following:

“In the framework of its calls, the CSJU encourages the submission of proposals containing a separate and clearly identified Work Package (ESIF WP) that is independently funded or eligible for funding through ESIF under the applicable national/regional funding scheme/call. Activities proposed under the ESIF WP should be complementary to the scope of the topic under the call to which an applicant submit a proposal and should contribute to the objectives of the topic area or of the Clean Sky 2 Programme at large, but should be exclusively funded through ESIF. In the context of the calls for proposals launched by the CSJU, the complementary activities will be assessed by the CSJU outside the call for proposal framework, its evaluation and applicable rules. The CSJU encourages also synergies with ESIF also by amplification of the scope, addition of parallel activities or continuation of a CSJU co-funded project through ESIF in synergy with the Clean Sky 2 Programme and by stimulating the use of ESIF to build capacity and capabilities in the fields related to the Programme. Synergy does not mean to replace the private contribution (to be brought in the CSJU action by the grant beneficiaries) with ESIF or to combine the CSJU grant and ESIF for the same cost item in a

¹ See also http://ec.europa.eu/regional_policy/sources/docgener/guides/synergy/synergies_en.pdf
http://ec.europa.eu/research/transport/publications/items/synergies_transport_component_and_cohesion_policy_en.htm



project although a CSJU project can benefit from additional funding from ESIF at national or regional level for complementary or additional activities not covered by the CSJU grant. Synergy means to expand the scope and impact of a CSJU project through ESIF funds in terms of scientific excellence and contribution to the Clean Sky 2 Programme objectives.”

2. How to add an "ESIF Work Package" in the CSJU proposal application template

With the aim of amplifying the scope and impact of CSJU co-funded projects through ESIF, applicants are encouraged to propose complementary activities funded or eligible for support through ESIF that are in synergy with the topic area and/or contribute to the objectives of the Clean Sky 2 Programme. Complementary activities may be added and described by the applicant at proposal application stage or may be proposed (alternatively) by the selected applicant at start or during project implementation phase. In both cases, these activities shall be presented under a separate Work Package (ESIF WP) linking to the proposal or to the CSJU selected project that clearly indicates ESIF and the relevant national/regional funding scheme/call or ESIF Operational Programme as the possible source of public funding.

The ESIF WP shall describe the complementary activities to be performed with ESIF support by the beneficiary(ies) *from one country only* (in case of national ESIF Operational Programme(s)) or *from one Region only* (in case of regional ESIF Operational Programme(s)). In cases where the applicant or the beneficiary is a consortium of legal entities from several countries/Regions, separate and individual WPs may be proposed by the entities counting with ESIF support for its related activities; however, even proposals concerning only a part of the consortium members will be taken in consideration.

The applicant shall inform in the ESIF WP template form whether the application for ESIF funding in relation to those activities was already requested through the applicable ESIF call/funding scheme. They shall indicate the competent ESIF managing authorities and expected timing of the award of the ESIF support or whether they reserve to apply for ESIF only after the CSJU evaluation of those activities. If the applicable ESIF call/funding scheme is not defined yet by the ESIF Managing Authority, the applicant may make reference to the relevant Operational Programme.

If the activities proposed through the ESIF WP have already been granted an ESIF funding, the applicant shall specify that and make reference to the ESIF commitment or award decision and expected timeframe of implementation.

3. What kind of complementary activities may be considered through ESIF, some examples

The following may be regarded by the applicants as a reference and non-exhaustive list of examples:

- Take up / increase of TRL of the technical activities proposed to the CSJU within the topic;
- Support an alternative/parallel R&I, technology, or solution which responds in a different way to the same topic needs or topic area;
- Support further/parallel R&I activities related to the topic/proposal e.g closer to the market activities (e.g prototyping, pilot lines, early product validation actions, advanced manufacturing capabilities and first production);
- Support to infrastructural investments, equipment, machineries, laboratories, research centres to be combined with the R&I activity in the CSJU topic/proposal to maximise its quality and impact;
- Support to the R&I capability base of the stakeholders/clusters involved in the proposal;
- Support to market take-up and amplification of the impact of the proposal.

Applicants proposing ESIF WP(s) are highly recommended to design these activities in line with the conditions and rules applicable to the relevant ESIF call/funding scheme to which they have or will apply or, if not defined yet, to the relevant ESIF Operational Programme of the Country/Region since ESIF may constitute the exclusive possible source of funding of those activities and it's the sole responsibility of the applicant to apply through the applicable ESIF funding instrument.

Based on the above, applicants are invited to identify the smart specialization fields of their EU Member State or Region and explore potential for synergies with the relevant Managing Authorities in charge of the ESIF in their territory. More details on smart specializations and RIS3 platform and ESIF investments in research and innovation can be found in the following links:

http://ec.europa.eu/regional_policy/activity/index_en.cfm

<http://s3platform.jrc.ec.europa.eu>

4. Why to complement the proposal with potential activities which will not be funded by the CSJU?

The option of introducing complementary activities when applying to a CSJU call for proposal has the objective to incentivize the stakeholders to duly consider synergies and combination of funding under H2020 and ESIF at the moment when designing and submitting its proposal to the CSJU. Applicants considering this possibility should pre-assess the existence of the relevant ESIF national/regional funding schemes/calls or ESIF Operational programme under which the



proposed complementary activities may qualify for funding under the applicable national/regional rules in its territory.

As stated above, the same incentive effect is addressed also to a CSJU beneficiary (implementing already a CSJU project) wishing to amplify the scope of its CSJU co-funded project through ESIF support (e.g. addition of parallel activities, enhancement of R&I work and facilities/infrastructures/machineries used in the action, extension of the action etc) and wishing to submit such complementary activities to the CSJU for an assessment on the synergies and linkage to the CSJU project and in view of getting a qualification in terms of “Clean Sky synergy label.”

5. How the ESIF Work Package will be evaluated

The ESIF Work Package(s), where applicable, will be considered by the CSJU outside the call framework and its rules and evaluation of the core proposal and will be separately evaluated only after the selection of the proposals and draw up of the ranking list per topic. The CSJU and the external experts will evaluate only the complementary activities proposed by the applicants selected in the call for proposal.

A separate Evaluation Report (“ESIF applicant evaluation report”) will be drafted for the proposed ESIF WPs and after a careful assessment the "CSJU synergy label" may be awarded to the positively evaluated activities along with the scoring obtained. A minimum threshold of the scoring will apply (minimum 3 points x criterion vs a minimum of 10 points as total score)

The evaluation of the ESIF WP(s) will be conducted by the CSJU on the basis of the H2020 evaluation criteria of “Excellence”, “Impact” and “Implementation” which will apply, as appropriate, to the proposed activities and in relation to the aspect of synergy/complementarity with the proposal/topic and contribution to the objectives of the Programme. The aspect of synergy will be assessed also in cooperation with the relevant CSJU Leaders in view of delivering an accurate evaluation on this Work Package in relation to the topic/Programme objectives and also possible recommendations by the CSJU.

This approach will allow combination of activities in synergy submitted as part of the same proposal but will avoid risks related to the need to ensure timely delivery, with secured funding, of the results/deliverables required under the topic. It will allow also flexibility, innovation content and bottom up approach in the proposition of complementary activities as part of the proposal which could include also possible amplification and enhancement of the activities under the topic and its impact.

Only the complementary activities proposed by the selected applicants of the call for proposal will be evaluated by the CSJU and the external experts. The evaluation of these activities will be separate from the call evaluation and will be drawn up in an “ESIF applicant evaluation report by the CSJU”

6. Will the submission and evaluation of the ESIF WP impact on the proposal?

The inclusion in the proposal of complementary activities will not modify or impact the evaluation and selection procedure of the CSJU Call for proposal which requires the core proposals to fully address the topic scope and meet the relevant eligibility and admissibility requirements under the call. The result of the evaluation of these activities and score attributed will not impact the final score or may not lead to a higher score of the proposal within the Call and will be reported in a separate evaluation report.

7. What will be the follow up of the CSJU evaluation of the ESIF WP?

The results of the evaluation by the CSJU may result in a **“Clean Sky synergy label”** of the proposed complementary activities linking to the CSJU project which may be used as appropriate by the applicant or CSJU beneficiary within the relevant national/regional ESIF application file to show that the proposed activities are building up on a CSJU project and that such activities were positively assessed as appropriate by the CSJU and independent experts in terms of excellence, impact, implementation and synergies in relation to a CSJU project or Clean Sky 2 Programme at large.

ESIF authorities may request the CSJU, under their initiative and discretion, access to the ESIF applicant evaluation report and consider it for evaluating any proposals submitted to them under their rules. To allow the potential transmission of the ESIF applicant evaluation report to the ESIF managing authorities requesting it, the CSJU template will require the prior agreement of the applicant on such a disclosure.

The ESIF managing authorities may also consider, under their initiative and discretion, to involve the CSJU in the evaluation of proposals submitted to them which are linking to a CSJU project or to consider the element of synergy with Clean Sky as part of their selection criteria. However, the ESIF authorities remain the competent body to consider the results of the CSJU evaluation of the ESIF WP and the element of synergies with a CSJU project under their applicable framework and rules.

By evaluating any proposed ESIF WP(s) the CSJU does not take any commitment vis-à-vis the applicant to fund or support these activities. Subject to the prior agreement of the applicant or beneficiary, the CSJU may share the ESIF applicant Evaluation Report with the Country/Region willing to consider the award of ESIF financial support to those activities based on their rules and funding schemes and provide, where requested, any other technical feedback to the ESIF competent authority.

8. How to include the ESIF WP in the application template?

Since the combination of funding sources does not allow for double funding of the same cost item nor for substitution of the required private contributions to be brought to a CSJU project, it is important that project costs for which support is requested from ESIF are clearly identified and separated from the costs supported by the CSJU under the action. To this aim, the participants are strongly advised to group all complementary activities supported through ESIF in one distinct work package (or more distinct work packages, if absolutely necessary) that is exclusively supported or eligible for support by ESIF. As mentioned above, such distinct work package(s) must contain complementary activities of a beneficiary(ies) *from one country only* (in case of national ESIF Operational Programme(s)) or *from one region only* (in case of regional ESIF Operational Programme(s)). In this context, see below the specific entries required for an "ESIF work package" in a proposal submitted in response to a CSJU call.

Part A of the Template

This part is not affected by the existence of an "ESIF work package."

Part C of the Template

In the H2020 proposal submission system (SEP), there will be a *separate* optional template provided for describing the complementary activities funded or eligible for support through ESIF, if any. This template will be analogous to the standard Part-B template that is used for describing the core proposal activities which address the topic. If there are complementary activities then the completed template should be uploaded in the same way as the Part-B. All content related to the complementary activities supported by ESIF must be described in this document only and not mixed with the content of the core proposal contained in Parts A & B. This is to permit the separate evaluation of each. The optional template covering potential "ESIF supported activities" will contain tables for each "ESIF work package" of complementary activities being proposed.

In addition to the table, the template will contain an area for "*ESIF Work package description*" where the applicant should describe the activities proposed with possible ESIF support, explain the synergies and complementarity of such additional WP(s) in relation to the proposal, topic area and Programme objectives and provide some information related to the ESIF call/funding scheme considered for support.

The resources to be committed in the implementation of ESIF WP(s) shall be described in a specific table. The Total Eligible Costs of the ESIF WP(s) and the ESIF funding value should be described in a specific table, where applicable. In the case the ESIF call/funding scheme and applicable co-funding rate is not defined yet, this table should not be filled in.

NB: Only well identified activities/budget which may be supported through ESIF autonomously by the Country/Region in charge of the ESIF management may be added in such a section in a context of additionality.



9. May complementary activities be proposed also during a CSJU Project implementation?

Yes as above stated, the CSJU beneficiaries may propose an amplification/extension of their CSJU funded project also during its implementation phase. The CSJU encourages the build-up through ESIF on CSJU projects, therefore beneficiaries are encouraged to stimulate synergies also in the course of implementation of their CSJU projects and may propose to the CSJU complementary activities which amplify the scope of a CSJU project and may request the CSJU the same synergy assessment as detailed above. Like above, the build-up on an existing CSJU project and the CSJU synergy assessment may be elements to be brought to the attention of the ESIF Managing Authorities when applying under the relevant national/regional call.

10. Implementation phase

If the complementary activities are positively evaluated by the CSJU (Clean Sky synergy label) and if they're funded by the competent ESIF Managing Authority, a link may be established between the ESIF WP and the CSJU project where the applicant was selected in the framework of the CSJU call. This is an essential condition for the synergetic effect to be achieved, as described above.

Depending on the timing of the award of the ESIF funding by the managing authority and start of those activities, the CSJU may suggest to the ESIF Managing Authority to establish contacts to maximize the level of synergy of the activities and its impact and agree possible implementation modalities with the ESIF managing authority if not stated beforehand in the text of the ESIF call/funding scheme or agreed bilaterally at general level between the CSJU and the ESIF managing authority.

The possible implementation modalities and the level of involvement of the CSJU on those activities will be defined on a case by case approach. Also the involvement and, where appropriate, any agreement with a Member of the CSJU related to the implementation of those activities will be defined on a case by case basis.

A tailored made approach will be followed by the CSJU depending on the specific case, the CSJU is progressively defining modalities of cooperation with some Countries/Regions and relevant ESIF Managing Authorities. However the existence of a formal agreement between the CSJU and the ESIF Managing Authority is not a pre-requisite for proposing complementary activities.

11. Which results could such a synergy scheme provide?

If the activities proposed are funded through ESIF, the CSJU project at large will result in being complemented and enhanced by a distinct set of ESIF WPs which will contribute to the Programme objectives and enhance the participants' capabilities and involvement in the



Programme. From the point of view of an applicant and CSJU beneficiary, the combination of CSJU funding and ESIF provides new opportunities for funding on those areas where complementarities of the two policy instruments are identified, paving the way for a more effective and better integrated public support to the innovation potential of beneficiaries.

The CSJU bears no responsibility with regard to any application for ESIF funding and any ESIF funding awarded to such complementary activities. The award of ESIF funding will be done in full legal, administrative and financial independence between the CSJU and the competent ESIF Managing Authorities under their rules and responsibility. The CSJU and ESIF rules will apply independently to the set of activities supported by each body. However participants must avoid any risk of double funding of the same costs items by CSJU and ESIF.

12. Is this guidance applicable only to calls for proposals? Could also applicants as Core Partners propose ESIF funded complementary activities?

Also under the CSJU Calls for Core Partners (to select Members of the CSJU), applicants are encouraged to propose complementary activities which may be funded through ESIF. However, different rules apply in the context of the Calls for Core Partners, in particular on the evaluation framework applicable the proposed complementary activities; therefore, applicants should duly consult the relevant rules for submission, selection and evaluation of the Calls for Core Partners².

² http://www.cleansky.eu/sites/default/files/documents/legal/1615104-cs2_rules_for_submission_evaluation_selection_award_and_review_procedures_of_calls_for_core_partners_en.pdf